



3624

Docket No.: J2167.0230

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Alexandra Keene

Confirmation Number: 5659

Application No.: 09/809,494

Group Art Unit: 3624

Filed: March 15, 2001

Examiner: R. C. Weisberger

For: SYSTEM AND METHOD FOR CHECK  
EXCEPTION ITEM NOTIFICATION

INFORMATION DISCLOSURE STATEMENT (IDS)

U.S. Patent and Trademark Office  
220 20th Street S.  
Crystal Plaza Two, Lobby, Room 1B03  
Arlington, VA 22202

Dear Sir:

Pursuant to 37 CFR §§ 1.56, 1.97 and 1.98, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached PTO/SB/08. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

For the Examiner's convenience, the references cited are included in PDF format on the enclosed CD Rom. The attached SB-08 form lists the file name for each document on the CD Rom. Further, each of the documents on the disk has been OCR'd so that the files are text-searchable. If the Examiner has any questions, he is welcome to contact the undersigned at the number below.

10/21/2004 HUUJONG1 00000106 09809494

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**Timing of Filing of the Information Disclosure Statement:**

- ☐ This IDS is being filed before the First Office Action<sup>1</sup>.
- ☒ This IDS is being filed after the issuance of the First Office Action but before the issuance of a Final Office Action<sup>2</sup>.
- ☐ This IDS is being filed after the issuance of a Final Office Action but before the payment of the Final Fee<sup>3</sup>.

**Certifications:**

If checked, the undersigned makes the following statement(s):

- ☐ Statement under 37 CFR § 1.97(e):

Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement; or

No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item

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<sup>1</sup> The IDS should, where possible, include a certification under 37 C.F.R. §1.97(e).

<sup>2</sup> The IDS *must* include *either* a certification under 37 C.F.R. §1.97(e) *or* the fee set forth in 37 C.F.R. §1.17(p).

<sup>3</sup> The IDS *must* include *both* a certification under 37 C.F.R. §1.97(e) *and* the fee set forth in 37 C.F.R. §1.17(p).

of information contained in this information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.

☐ Statement Under 37 C.F.R. § 1.704(d):

Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart application less than thirty days prior to the filing of this information disclosure statement.

**Fee Required by 37 C.F.R. § 1.97(c)(2) or 1.97(d)(2):**

☒ If checked, the fee of \$180.00 set forth in 37 C.F.R. §1.17(p) is attached.

**Copies of Information:**

In accordance with 37 C.F.R. §1.98(a), the following are enclosed:

☒ An electronic text-searchable copy<sup>4</sup> of each document in PDF format (or relevant portion thereof) cited in the attached PTO/SB/08 on CD Rom.

☐ With respect to any information which is not in English, a concise explanation of the relevance, as it is presently understood by the individual designated in § 1.56(c) most knowledgeable about the content of the information, is attached. This concise explanation is provided by way of:

☐ A translation of the relevant portions of the non-English language information<sup>5</sup>;

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<sup>4</sup> A legible copy of the document is not required if (1) the information was previously cited by, or submitted to, the Office and considered by the Office in a prior U.S. application to which this application claims priority, provided that the prior application is properly identified in this IDS, and (2) the IDS submitted in the earlier application complies with 37 C.F.R. § 1.98(a) – (c). This exception does not apply to information cited in an International Application.

- ☐ A statement explaining the relevant portions of the non-English language information;
- ☐ A copy [and, where not in the English language, a translation] of at least the relevant portion(s)<sup>6</sup> of the communication from a foreign patent office in a counterpart foreign application in which the information was cited; or
- ☐ This information is contained in the specification of the present application.

☐ In accordance with 37 C.F.R. 1.98(d), copies of the cited documents are not enclosed as they were provided in application Serial No. \_\_\_\_\_, filed \_\_\_\_\_, which the present application relies upon for an earlier effective filing date under 35 U.S.C. 120.

**Materiality:**

Whether or not the information and references disclosed in this Information Disclosure Statement is “material” pursuant to 37 CFR 1.56, this submission is not intended to constitute an admission that any patent, publication or other information referred to therein is “prior art” for this invention unless specifically designated as such.

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<sup>5</sup> 37 C.F.R. §1.98(a)(3)(ii) *requires* that an English language translation be provided when a translation of the document, or portion thereof, “is within the possession, custody or control of, or is readily available to any individual designated in 37 C.F.R. § 1.56(c).”

<sup>6</sup> The relevant portion is that portion which indicates the degree of relevance found by the foreign patent office. This may be an explanation of which portion of the of the reference is particularly relevant, to which claims it applies, or merely an “X”, “Y”, or “A” indication on a search report. MPEP §609 III A(3).

In accordance with 37 CFR 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR 1.56(a) exists.

It is submitted that the Information Disclosure Statement is in compliance with 37 CFR 1.98 and the Examiner is respectfully requested to consider the listed references.

In the event the actual fee is inadvertently not enclosed or if any additional fee during the prosecution of this application is not paid, the Patent Office is authorized to charge the underpayment to Deposit Account No. 50-2215.

Dated: October 20, 2004

Respectfully submitted,

By 

Ian R. Blum

Registration No.: 42,336

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PTO/SB/08a/b (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

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<b>Substitute for form 1449A/B/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	09/809,494-Conf. #5659
				Filing Date	March 15, 2001
				First Named Inventor	Alexandra Keene
				Art Unit	3624
				Examiner Name	R. C. Weisberger
Sheet	1	of	2	Attorney Docket Number	J2167.0230

US PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Filename on Disc
		Number-Kind Code <sup>2</sup> (if known)			
	AA	US 5,717,868 (Bates: JPMC 266321 - JPMC 266332)	2/10/1998	David L. James	JPMC_266321.pdf

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Filename on Disc	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Filename on Disc	T <sup>2</sup>
	CA	Higher Demand For Image Wholesale Foreseen; Item Processing Report; Vol. 8(1); 1/16/1997 (Bates: JPMC 264452 - JPMC 264459)	JPMC_264452.pdf	
	CB	ANSI X9/TG15-1997 - Technical Guideline: To Aid In The Understanding and Implementation of Financial Image Interchange; Accredited Standards Committee X9 - Financial Services; 8/1/1997 (Bates: JPMC 264756 - JPMC 264819)	JPMC_264756.pdf	
	CC	Letter to Mike Reynolds of Data Management Products, Inc. Regarding Software Specifications and Requirements for our Exceptions/DCS Image Project; Carl A. Natola; Shawmut Bank; 4/7/1993 (Bates: JPMC 265648 - JPMC 265654)	JPMC_265648.pdf	
	CD	The Image Forum Summary; 9/11/1996 (Bates: JPMC 267860 - JPMC 267887)	JPMC_267860.pdf	
	CE	Computerized Document Imaging Systems: Technology and Applications; Nathan J. Muller; Artech House;; 1/1/1993 (Bates: JPMC 267888 - JPMC 268050)	JPMC_267888.pdf	
	CF	IBM ImagePlus HPTS Proposal For Electronic Data Systems Corporation; IBM Corporation; 6/21/1994 (Bates: JPMC CARKR 000045 - JPMC CARKR 000078)	JPMC-CARKR_000045.pdf	
	CG	Outline for Initial Usage of Optical Disk Project; 8/3/1990 (Bates: JPMC-CMSQ 000019 - JPMC-CMSQ 000022)	JPMC-CMSQ_000019.pdf	
	CH	Letter to Com Squared Systems Enclosing Contract Between Federal	JPMC-	

Examiner Signature		Date Considered	
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Sheet	2	of	2	Attorney Docket Number	J2167.0230

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Filename on Disc	T <sup>2</sup>
		Reserve Bank of Chicago and Com Squared Systems; D. J. Miller; Federal Reserve Bank of Chicago; 5/23/1994 (Bates: JPMC-CMSQ_000088 - JPMC-CMSQ_000109)	CMSQ_000088.pdf	
	CI	Imaging Research and Development Document; 7/13/1994 (Bates: JPMC-CMSQ_000126 - JPMC-CMSQ_000161)	JPMC-CMSQ_000126.pdf	
	CJ	Service Agreement Between Fiserve Solutions Inc. and Compas Bank; 2/12/1997 (Bates: JPMC-COMPSS_000038 - JPMC-COMPSS_000063)	JPMC-COMPSS_000038.pdf	
	CK	Fiserv-Financial Data Agreement for Item Processing And/Or Back Office Services; 11/15/1994 (Bates: JPMC-COMPSS_000115 - JPMC-COMPSS_000128)	JPMC-COMPSS_000115.pdf	
	CL	Check Truncation Prepared for Bank Administration Institute; Littlewood, Shain and Company; 1/1/1980 (Bates: JPMC-ECCHO_009512 - JPMC-ECCHO_009654)	JPMC-ECCHO_009512.pdf	
	CM	PACES (Paperless Automated Check Exchange & Settlement Project Proposal; Financial Services Technology Consortium; 2/5/1998 (Bates: JPMC-PACES_004565 - JPMC-PACES_004589)	JPMC-PACES_004565.pdf	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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